UNITED STATES PATENT AND TRADEMARK OFFICE

Baker, et al.

Docket No.:

39740-0005A

Serial No.:

10/714,195

Group Art Unit:

1634

Filing Date:

November 14, 2003

Examiner:

Unassigned

Title:

GENE EXPRESSION PROFILING OF EGFR POSITIVE

CANCER

MS: Petition

Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

STATEMENT OF FACTS BY GINGER R. DREGER IN SUPPORT OF PETITION UNDER 37 CFR 1.47(a)

Sir:

I, Ginger R. Dreger, declare as follows:

- 1. I am an attorney registered to practice before the United States Patent and Trademark Office under Registration No. 33,055, and am the attorney of record for the above-identified patent application.
- 2. On May 20, 2004, I prepared a letter to Dr. Jose Baselga, giving him instructions regarding the contents of the patent application and his duties as an inventor and requested that if the application was accurate and complete, then he should sign the Declaration and Assignment. Along with the letter, I enclosed the following: (a) a copy of the above-identified patent application as filed (including specification, claims and drawings); (b) a Combined Declaration for Patent Application and Power of Attorney; and (c) an Assignment.
- 3. I signed the letter, and instructed my assistant, Cheryl Rogers, to send the package to Dr. Baselga at his work address, via Federal Express (standard overnight delivery).
- 4. On May 24, 2004, Ms. Rogers received a delivery report from Federal Express indicating that the package had been signed and accepted for Dr. Baselga by S. Ello.

5. Subsequently, I asked Ms. Rogers to send an e-mail reminder to Dr. Baselga, which she did on June 24, 2004.

6. On July 30, 2004 I asked Ms. Rogers to make a further copy of the patent application, Declaration and Assignment, and re-send the package to Dr. Baselga by

Federal Express, to the same work address. Subsequently, Ms. Rogers informed me that

delivery was confirmed by Federal Express on August 2, 2004.

7. During the time between May 20, 2004 and July 30, 2004, I have made

several telephone calls to Dr. Joffrey Baker at Genomic Health, Inc., assignee of the

above-identified patent application, asking his assistance with obtaining Dr. Baselga's

signature. I was informed that Dr. Baselga refused to sign the Declaration and

Assignment documents.

8. I hereby declare that all statements made herein of my own knowledge are

true and that all statements made on information and belief are believed to be true, and

further that these statements were made with the knowledge that willful false statements

and the like so made are punishable by fine or imprisonment, or both, under Section 1001

of Title 18 of the United States Code and that such willful false statements may

jeopardize the validity of this application or any patent issuing thereon.

Respectfully submitted,

Date: September 21, 2004

Ginger R. Dreger

Reg. No. 33,055

Heller Ehrman White & McAuliffe, LLP Customer No. 25213

275 Middlefield Road

Menlo Park, CA 94025

Tel: (650) 324-7000 Fax: (650) 324-0638



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Baker, et al.		Docket No.:	39740-0005A
Serial No.:	10/714,195		Group Art Unit:	1634
Filing Date:	November 1	4, 2003	Examiner:	Unassigned
For:	GENE EXP	RESSION PRO	FILING OF EGFR POS	SITIVE CANCER
SIGNATUI INVENTOR	RE BY PERSO IS AVAILAB	ON WITH SUFI LE TO SIGN A	FICIENT PROPRIETAE	ER OF ATTORNEY FOR RY INTEREST WHERE NO LL THE INVENTOR(S) WHO 37 C.F.R. § 1.47(b))
I, Ran (Typed or Pr	dy Scott, Ph.D. inted name of p	erson authorized	to sign on behalf of Geno	omic Health, Inc.)
I. I am a ci	tizen of <u>45</u>	<i>A</i> ; resi	ding at <u>24032 Oak Ku</u>	oller. Los Altos, CA 940
II. I,				
	am a person v	vith sufficient pro	oprietary interest.	
\boxtimes	am authorized interest,	l by the following	g person or juristic entity	with sufficient proprietary
Genomic Heal	th, Inc., 301 Pel	onobscot Drive, l	Redwood City, CA 94063	1
Chairman & C		declaration on he	half of Assignee	
Title of person	executing time	acciaration on oc	man of Assignee	
Signature	More			
_	e of this proprie	tary interest, I si	gn this declaration on beh	alf of, and as agent for:
Full Name of N	Non-Signing Inv	entor who:	,	•
\boxtimes	refuses to sign	n; or		
	cannot be fou	nd or reached.		
			also inserted at the approption has been filed for this	
Jose Baselga		Vall d'Hebro	n University Hospital, P	g. Vall de"hebron 119-120,
Name of non-sign	ing inventor	Barcelona 08		
<u>Spain</u>	ship of non-signing	,		

Note: Ordinarily, the last known address will be the last known residence of the non-signing inventor(s). A post office box is insufficient. Other addresses at which the non-signing inventor(s) may be reached should also be given (and these can best be given in the Statement of Facts In Support of Filing on Behalf of Non-signing Inventor). M.P.E.P. § 409.03(e), 6th ed.

- IV. Upon information and belief, I aver those fact that the inventor is required to state, 37 C.F.R. § 1.64(b).
- V. Accompanying this declaration is:
 - (1) A Statement of Facts in Support of Filing on Behalf of Non-Signing Inventor;
 - (2) A Statement By Person Signing on Behalf of Non-Signing Inventor Establishing proprietary Interest, to establish the proof of pertinent facts, and to show that such action is necessary to preserve the rights of the parties or to prevent irreparable damage, and
 - (3) The petition fee of \$130.00. (37 C.F.R. § 1.17 (i)).

Date: September 17, 2004

Randy Scott, Ph.D. Chairman and CEO Genomic Health, Inc.

(On behalf of non-signing inventor)

SV 2059463 v1 9/17/04 8:55 AM (39740.0005) THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Baker, et al.

Docket No.:

39740-0005A

Serial No.:

10/714,195

Group Art Unit:

1634

Filing Date:

November 14, 2003

Examiner:

Unassigned

Title:

GENE EXPRESSION PROFILING OF EGFR POSITIVE CANCER

MS: Petition

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

DECLARATION OF CHERYL ROGERS IN SUPPORT OF PETITION UNDER 37 CFR 1.47(a)

Sir:

- I, Cheryl Rogers, declare and state as follows: -
- 1. I am a patent assistant at the law firm of Heller Ehrman White and McAuliffe LLP.
- 2. On May 20, 2004, I sent a package to Dr. Jose Basalga containing the following: (a) a letter prepared and signed by Ms. Ginger R. Dreger; (b) a copy of the above-identified patent application as filed (including specification, claims and drawings); (c) a Combined Declaration for Patent Application and Power of Attorney with a tab indicating the spot where Dr. Basalga was to sign; and (d) an Assignment with a tab indicating the spot where Dr. Basalga was to sign. The package was sent via Federal Express (standard overnight delivery) to the following address:

Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035 SPAIN

which is the last known work address of Dr. Baselga. A copy of the letter is attached to the present Declaration as "Exhibit A."

3. I prepared the Federal Express label myself, inserted the above-identified documents into the envelope, sealed the envelope and left it for our firm's mail services to pick up and deliver to Federal Express.

4. I subsequently received a confirmation of delivery from Federal Express, a copy

of which is attached to this Declaration as "Exhibit B.".

5. On June 24, 2004 I sent Dr. Basalga an e-mail requesting that he sign the

documents forwarded to him on May 20, 2004 and return them to me at his earliest convenience.

A copy of this e-mail is enclosed as "Exhibit C."

6. On July 30, 2004, I again sent, via Federal Express a duplicate copy of the

Combined Declaration for Patent Application and Power of Attorney for Dr. Baselga's signature.

A confirmation of delivery received from Federal Express is attached to this Declaration as

"Exhibit D."

7. Non-signing inventor, Dr. Baselga has not contacted this firm, nor has he

returned the documents (signed or unsigned).

8. I hereby declare that all statements made herein of my own knowledge are true

and that all statements made on information and belief are believed to be true, and further that

these statements were made with the knowledge that willful false statements and the like so made

are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United

States Code and that such willful false statements may jeopardize the validity of this application

or any patent issuing thereon.

Respectfully submitted,

Date: September 21, 2004

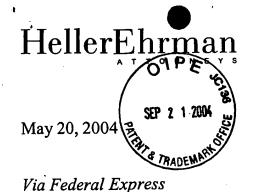
Heller Ehrman White & McAuliffe, LLP

Customer No. 25213 275 Middlefield Road

Menlo Park, CA 94025

Tel: (650) 324-7000

Fax: (650) 324-0638





Ginger R. Dreger gdreger@hewm.com Direct (650) 324-7115 Direct Fax (650) 324-0638 Main (650) 324-7000 Fax (650) 324-0638

39740.0005

Jose Baselga Director on Oncology Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035 SPAIN

Re: U.S. Patent Application No. 10/714,195

Title: GENE EXPRESSION PROFILING OF EGFR POSITIVE CANCER

Filed: November 14, 2003

Our Reference No.: 39740-0005A

Dear Dr. Baselga:

In order to secure an early filing date, the above-identified application was filed with an unsigned Declaration. In order to complete formalities, enclosed is a copy of the application as filed on November 14, 2003, along with a Declaration and Power of Attorney by Inventors and Assignment form. In order to maintain this filing date and sustain the pendency of the application the "formal" documents relating to this application must be executed and filed in the U.S. Patent and Trademark Office by May 24, 2004.

United States patent laws require that the application describe the invention, and the method for making and using it, completely and accurately such that a person who has an ordinary amount of skill in the technology pertaining to this invention could, after reviewing the application, make and use the invention. Additionally, the patent laws require that the application set forth the preferred implementation or "best mode" of carrying out the invention. If the application would not permit such persons of ordinary skill to make and use the invention, or if you, at this time, know of a better way to make or use your invention than that which is described in the enclosed application, please let us know immediately.

Please carefully read the enclosed patent application in connection with the above requirements, and if there is anything in the application that appears to be incomplete or inaccurate, or that may be misleading, then contact me at once.

HellerEhrman

Please read the Declaration which is attached to the back of the application. You must carefully consider certain matters before signing the Declaration.

The Declaration states that there is a duty to disclose information regarding earlier developments and the like which may be material to the examination of the application. If you know of such information now or learn of any while the application is pending in the U.S. Patent and Trademark Office, please advise me promptly.

Further, the Declaration states the inventors that have been named when filing the above-identified patent application. If the inventors or you have reason to believe that any of the named inventors not be an inventor, or that anyone may have been omitted as an inventor, please contact me immediately.

You should sign and date the enclosed Declaration where indicated. Also, you should execute both the Declaration and the Assignment on the same day. The Declaration and Power of Attorney should be signed on the same day or earlier than the Assignment, but not after. After execution, please return the papers to us, in the enclosed Federal Express envelope, for filing in the U.S. Patent and Trademark Office.

If you have any questions or comments, please call.

Sincerely,

Ginger R. Dreger

Enclosures

SV 2029866 v1 5/19/04 4:35 PM (39740.0005)

Please type a plus sign (+) inside this box	 +	

DECLARATION FOR UTILITY OR DESIGN

> PATENT APPLICATION (37 CFR 1.63)

PTO/SB/01 (12-97) Approved for use through 9/30/00.OMB 0651-0032

39740-0005A

Baker, et al.

10/714,195

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

COMPLETE IF KNOWN

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Attorney Docket Number

First Named Inventor

Application Number

	Declaration Submitted			aration nitted after Init	ial Filing D	ate	Nov	ember 14, 2003	
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	Filing		(37 (requ	CFR 1.16(e)) ired)	Examin	er Name	Una	ssigned	·
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Ame or of	erica, listed belo f any PCT intern	w and ationa	nave also id Lapplication	entified below, that ing date of the control of the	ate before that	of the application	on which price	ority is claimed.	
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	Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto:								
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1116	Application	Numb	er(s)	Filing	Date (MM/DD	/YYYY)			
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(Page 1 of 2)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop , Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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"PTO/SB/01 (12-97) Approved for use through 9/30/00.OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of the application is not

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Direct all correspo	Direct all correspondence to: Customer Number or Bar Code Label										
Name	Ginge	r R. Dreger, Esq.									· · · · · · · · · · · · · · · · · · ·
Address	HELL	ER EHRMAN WI	HITE & McAU	LIFFE, LL	P						·
Address	275 N	liddlefield Road									
City	Menlo	Park		· .		State (CA	ZIP	94025		
Country	USA		Telephone		/324-7000 Fax 650/324-0638				· · · · · · · · · · · · · · · · · · ·		
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Inventor's Signat	ure			···		T			Date	<u> </u>	
Residence: City Montara		Montara	State	CA		Country	ι	JSA	Citizensi	nip	USA
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City		Montara	State	CA		ZIP		937	Country		USA
Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto:											

PTO/SB/02A (3-97)
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ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 3

	Laint Inventor	if any:	. 		A netition ha	s been filed for t	his unsign	ed ir	nventor
Name of Additional			Family Name or Surname						
Given Name	(first and middle (i	f any)							
	Maureen T.					Cron	in		
Inventor's Signature							Date	т	
Residence: City	Los Altos	State	CA		Country	USA	Citizensh	ip	USA
Post Office Address	771 Anderson Av	771 Anderson Avenue							·
Post Office Address									
City	Los Altos	State	C/	١	ZIP	94024	Country		USA
Name of Additiona		A petition has been filed for this unsigned inventor							
Given Name (first and middle (if any)				Family Name or Surname					
Steve				Shak					· · · · · · · · · · · · · · · · · · ·
Inventor's Signature							Date		
City	Hillsborough	State	C	<u> </u>	Country	USA	Citizensh	ip	USA
Post Office Address	648 Fairway Circ	:le							
Post Office Address									
City	Hillsborough	State	C.	A	ZIP	94010	94010 Country		USA
Name of Additiona	l Joint Inventor	, if any:			A petition h	nas been filed for	this unsig	ned	inventor
Given Name	e (first and middle ((if any)				Family Name	or Surnan	ne	
	Jose			Baselga					
Inventor's Signature			-				Date		· · · · · · · · · · · · · · · · · · ·
City	Barcelona	State			Country	Spain	Citizensi	hip	Spain
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City	Barcelona	State			ZIP	08022	Country		Spain

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ASSIGNMENT OF APPLICATION	Doc	ket Number 39740-0005A
Whereas, the undersigned:		
Jose Baselga Vall d'Hebron University Hospital Pg. Vall d'Hebron, 119-129 Barcelona 08035		
SPAIN		
hereinafter termed "Inventors", have invented certain new and useful impre	ovements in	
GENE EXPRESSION PROFILIN	G OF EGFR POSITIVE CANC	ER
for which an application for United States Patent was filed of for which an application for a United States Patent was executed to the state of the	n November 14, 2004, Application uted on, and	n No. <u>10/714,195</u>
WHEREAS, <u>VALL D'HEBRON UNIVERSITY HOSPITAL</u> , a corpora <u>08035, SPAIN</u> , (hereinafter termed "Assignee"), is desirous of acquiring to invention disclosed therein, and in and to all embodiments of the invention Inventors (all collectively hereinafter termed "said invention"), and in and (hereinafter termed "patents") thereon granted in the United States and for	he entire right, title and interest in , heretofore conceived, made or d to any and all patents, inventor's c	and to said application and the iscovered jointly or severally by said
NOW, THEREFORE, in consideration of good and valuable co from said Assignee:	nsideration acknowledged by said	Inventors to have been received in full
1. Said Inventors do hereby sell, assign, transfer and co application and said invention; (b) in and to all rights to apply for foreign Protection of Industrial Property or otherwise; (c) in and to any and all apply United States or any foreign country, including each and every application divisional, substitution, continuation, or continuation-in-part of any of said any of said patents.	patents on said invention pursuant lications filed and any and all pate filed and each and every patent g	to the International Convention for the ents granted on said invention in the ranted on any application which is a
2. Said Inventors hereby jointly and severally covenant enjoy to the fullest extent the right, title and interest herein conveyed in the shall include prompt production of pertinent facts and documents, giving other papers, and other assistance all to the extent deemed necessary or de and interest herein conveyed; (b) for prosecuting any of said applications; additional applications covering said invention; (d) for filing and prosecut other priority proceedings involving said invention; and (f) for legal procepatents granted thereon, including without limitation reissues and reexamicontests, public use proceedings, infringement actions and court actions; pushed cooperation shall be paid for by said Assignee.	e United States and foreign country of testimony, execution of petition sirable by said Assignee (a) for pe (c) for filing and prosecuting subsing applications for reissuance of edings involving said invention an nations, opposition proceedings, o	ses. Such cooperation by said Inventors s, oaths, specifications, declarations or refecting in said Assignee the right, title stitute, divisional, continuing or any said patents; (e) for interference or and any applications therefor and any ancellation proceedings, priority the incurred by said Inventors in providing
 The terms and covenants of this assignment shall interpresentatives, and shall be binding upon said Inventors, their respective 	re to the benefit of said Assignee,	its successors, assigns and other legal
4. Said Inventors hereby jointly and severally warrant a assignment, contract, or understanding in conflict herewith.	nd represent that they have not en	tered and will not enter into any
IN WITNESS WHEREOF, said Inventors have executed and d	elivered this instrument to said As	signee as of the dates written below:
Date:	JOSE BASELGA	
Date:		· · · · · · · · · · · · · · · · · · ·
Date:		

Rogers, Cheryl

SEP 2 1 2004

From: Sent: To: Subject: FedEx [donotreply@fedex.com]
Monday, May 24, 2004 2:22 PM
Rogers, Cheryl
FedEx shipment 790646092062

Our records indicate that the shipment sent from CHERYL A ROGERS/HELLER EHRMANN WHITE & M

to Jose Baselga/Vall d'Hebron University Ho has been delivered. The package was delivered on 05/24/2004 at 2:30 PM and signed for or released by S.ELLO.

The ship date of the shipment was 05/20/2004.

The tracking number of this shipment was 790646092062.

FedEx appreciates your business. For more information about FedEx services, please visit our web site at http://www.fedex.com

To track the status of this shipment online please use the following: http://www.fedex.com/cgi-bin/tracking?tracknumbers=790646092062 &action=track&language=english&cntry_code=us

Disclaimer

FedEx has not validated the authenticity of any email address.

Total Weight: 3 LB

From: Origin ID: HGTA (650) 324-7164 CHERYL A ROGERS

HELLER EHRMANN WHITE & MCAULIF 275 MIDDLEFIELD ROAD

MENLO PARK, CA 94025 UNITED STATES

SHIP TO: 011932746000

BILL SENDER

Jose Baselga

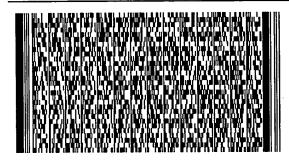
Vall d'Hebron University Hospital Pg. Vall d'Hebron

119-129

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SPAIN ES



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The Warsaw Convention may apply and will govern and in most cases limit the liability of Federal Express for loss or delay of or damage to your shipment. Subject to the conditions of the contract.

CONSIGNEE COPY - PLEASE PLACE IN POUCH

FedEx Ship Date: 20MAY04

Actual Wgt: 3 LB System#: 2046305/INET1800 Account#: S*********

REF: 39740-0005A DESC-1: Business Documents DESC-2:

DESC-3:

DESC-4: SED: NDR30.55(h) COUNTRY MFG:

CARRIAGE VALUE: 0.00 USD CUSTOMS VALUE: 0.00 USD

D/T: S 111859426 T/C: S 111859426

SIGN: CHERYL A ROGERS

EIN/VAT:

INTL PRIORITY PAK

7906 4609 2062

FORM 0430

AM MAD

08035

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X6 VLLA

Shipping Label: Your shipment is complete This shipping label constitutes the air waybill for this shipment. 1.Use the "Print" feature from your browser to send this page to your laser or inkjet printer. Fold the printed page along the horizontal line.

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Rogers, Cheryl

From:

Rogers, Cheryl

Sent:

Thursday, June 24, 2004 1:45 PM

To:

'baselga@hg.vhebron.es'

Subject:

Formal Documents for Patent Application





39740-0005A DEC_POA.DOC 19750-0005A

Dear Dr. Baselga:

My name is Cheryl Rogers and I am Ginger Dreger's assistant from Heller Ehrman White & McAuliffe. Ms. Dreger is the patent attorney for Genomic Health.

On May 20, 2004 I sent you a Declaration/Power of Attorney and Assignment for your signature (sent via Federal Express). As of this date I have not received the documents back. The documents were originally due for filing with the U.S. Patent & Trademark Office by April 24, 2004. However, extensions of time may be requested upon payment of the appropriate government fees. We are currently into our third month of extension fees and each month the cost rises. The final deadline to file these documents is September 24, 2004.

I have attached the documents to the e-mail for your convenience. Kindly, at your earliest convenience, execute the documents where indicated and return them to me via Federal Express. Failure to file these documents with the Patent & Trademark Office will result in the application becoming abandoned and potentially having to be refiled at further expense.

If you have any questions or wish additional information, please contact me. Thank you.

Cheryl Rogers | Patent Secretary |

HellerEhrman | 275 Middlefield Road | Menlo Park, CA 94025 tel: 650-324-7164 | fax: 650-324-0638 | email: crogers@hewm.com | web: www.hewm.com Heller Ehrman White & McAuliffe LLP

Rogers, Cheryle

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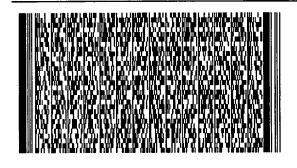
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